

SHARED RESOURCE SERVICE

Summary of Internal Audit Activity

2021 – 22 Year to date

Introduction

The purpose of this report is to:

- Advise of the progress to date with the current year's Audit Plan (2021 – 22)
- Provide details of the audits finalised in the period; and
- Raise any matters relevant to the Finance & Governance Board role.

Audit Plan 2021 - 22

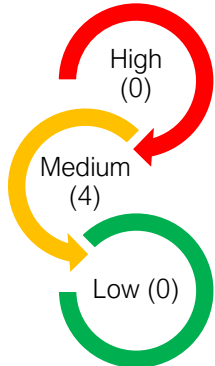
Regarding the 2020 – 21 internal audit plan then:

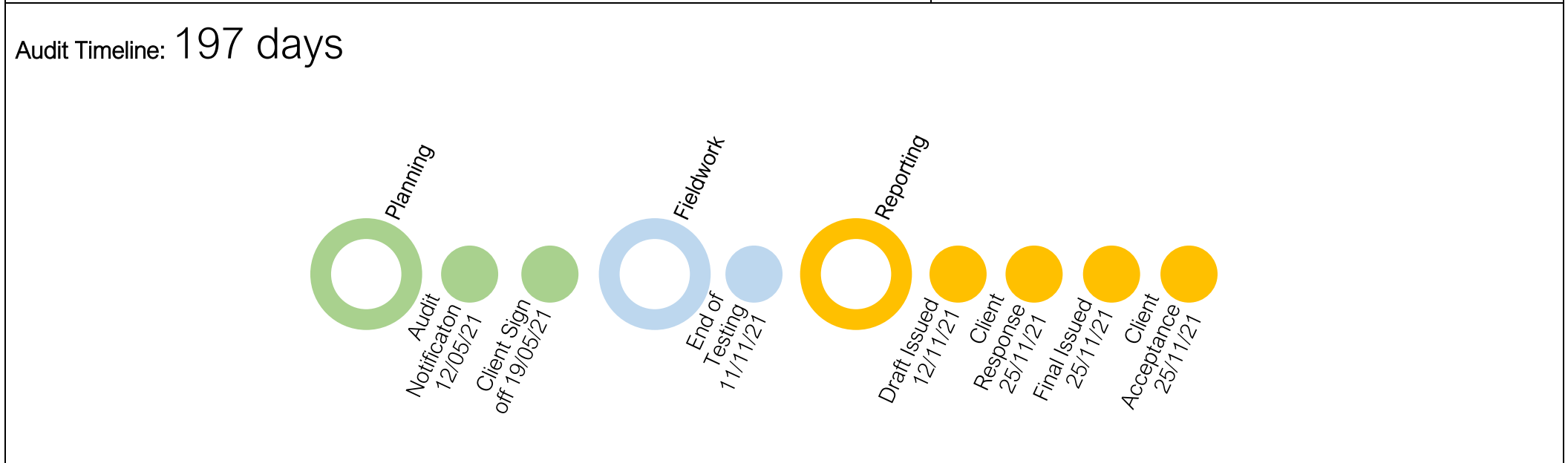
STAGE	NUMBER	%AGE
NOT ISSUED (NID)	4	40.00
ISSUED (ISS)	2	20.00
FIELDWORK (FLD)	1	10.00
REPORTING (REP)		
COMPLETED (COM)	3	30.00

CODE	NARRATIVE
P	Planned
I	Issued
C	Completed

Ref	Stage	Type	Title	Quarter		
				P	I	C
SRS – 21001	COM	SYS	EdTech	1	1	3
SRS – 21002	COM	FUP	Business Management	2	2	2
SRS – 21003	NID	FUP	Data Centre	4		
SRS – 21004	ISS	SYS	IT Governance	2	3	
SRS – 21005	NID	SYS	IT Service Continuity	4		
SRS – 21006	NID	SYS	Application Support	3		
SRS – 21007	NID	SYS	Identity and Access Management	4		
SRS – 21008	COM	FUP	IT Disposals	1	1	2
SRS – 21009	FLD	SYS	Mobile Computing	3	2	
SRS – 21010	ISS	SYS	Performance Management	3	3	

Audits Completed in the Period

Audit Title: SRS – 21001 EdTech	Audit Sponsor: Matt Lewis / Kathryn Beavan-Seymour	Final Report Issued: 25 November 2021
		Recommendations / Management Action(s) 



ISS.1 – AB5		Priority: Medium
<p>Control Requirement:</p> <p>The IT support partner monitors the network to identify and address any suspicious activity (both external and internal). The network has an appropriate filtering policy in place to manage and monitor online content for learners and staff.</p> <p>Issue:</p> <p>This is not in place, but the lack of compliance has been identified and addressed via a paper submitted for which a decision on funding is awaited.</p>	<p>Recommendation:</p> <p>The IT support partner should monitor the network to identify and address any suspicious activity (both external and internal). The network should have an appropriate filtering policy in place to manage and monitor online content for learners and staff.</p>	<p>Management Response:</p> <p>Funding approved November 20th, project manager appointed, SIROs sent statement of works.</p> <p>Sarah Stephens Head of Service - Education August 31, 2022</p>
ISS.2 – D3		Priority: Medium
<p>Control Requirement:</p> <p>All school IT network cabling is tested to meet performance specifications and standards regularly to maintain high speed internet access for all classrooms. All testing follows a documented testing regime with a record and archive results of structured cabling tests including copies for the school and/or local authority to evidence that the structured cabling infrastructure meets agreed industry standards. The testing protocols and guidelines are established in conjunction with guidance from the local authority.</p> <p>Issue:</p> <p>Cabling is tested on installation only or if an issue is identified. The SRS infrastructure brief states in Section "4.3 Testing" what should operate and be reviewed on a six-monthly basis to confirm validity based on current technical standards. The testing regime is stated but there is no reference to a kept archive for (and the issue of) results for structured cabling tests.</p>	<p>Recommendation:</p> <p>The lack of compliance with the standard needs to be assessed and any resultant actions implemented.</p>	<p>Management Response:</p> <p>Consider the action to meet the standard, revise the infrastructure brief to reflect the frequency, and introduce a documented system and archive results for testing.</p> <p>Sarah Stephens Head of Service - Education April 30, 2022</p>

ISS.5 – G1		Priority: Medium
<p>Control Requirement:</p> <p>All schools use Voice Over Internet Protocol (VOIP) telephony (school network and internet) rather than traditional phone lines to achieve savings on calls, and they have resilience measures in place in case of internet failure e.g., automatic call forwarding solution for designated mobiles or an additional landline in place.</p> <p>Issue:</p> <p>There are some schools that don't use Voice Over Internet Protocol (VOIP) telephony. There is no resilience through PSBA WebSafe as kit has been changed in terms of purposes. The SRS COO has now asked EdTech Leads and Schools to add this to their risk registers.</p>	<p>Recommendation:</p> <p>Partners should:</p> <ul style="list-style-type: none"> ▪ be informed of the number of schools without VOIP and consideration given to moving them to a more cost-effective option e.g., VOIP, Teams Telephony. ▪ seek assurance from their schools who do not use VOIP. 	<p>Management Response:</p> <p>Issue will be raised with Finance & Governance Board.</p> <p>Kathryn Beavan-Seymour Deputy COO/Director - Operations December 7, 2022</p>
ISS.3 – G5		Priority: Medium
<p>Control Requirement:</p> <p>Where the IT support partner for the VOIP solution is not the Local Authority, it is clearly stated and understood which partner is responsible for which part of the solution.</p> <p>Schools ensure there is a clear route for escalation to support their VOIP solution.</p> <p>Where the VOIP is provided by the main IT support partner, this forms part of the Service Level Agreement (SLA).</p> <p>Issue:</p> <p>Where the IT support partner for the VOIP solution is not the Local Authority, there will be a purchase order but there is nothing that clearly states which partner is responsible for which part of the solution. It is assumed that there is a clear escalation route for support for the VOIP solution, but nothing is stated. VOIP is not provided under any Service Level Agreement (SLA) but the SRS is starting work on a way forward for VOIP for schools as a business case.</p>	<p>Recommendation:</p> <p>However, VOIP solutions are provided there should be a clearly stated understanding of the associated responsibilities and the escalation route for support. Consideration should be given to ensuring that VOIP is covered by a Service Level Agreement (SLA).</p>	<p>Management Response:</p> <p>The issues identified will be included in the paper to be written and submitted to Business & Collaboration Board.</p> <p>Matt Lewis Chief Operating Officer March 31, 2022</p>

Key Points to Note

Mobile Computing has not progressed in line with the expected frequency.

Effort is needed to ensure the plan is completed by the year end.

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